

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
**(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.  
**07754/040001**

In Re Application Of: **Peter John TRAYNOR et al.**

Serial No.

Filing Date

Examiner

Group Art Unit

Title: **CARBON NANOTUBE ELECTRON IONIZATION SOURCES**

Address to:

**Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450**

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

**OR**

☐ the fee set forth in 37 CFR 1.17(p).

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
07754/040001

In Re Application: **Peter John TRAYNOR et al.**

Serial No.

Filing Date

Examiner

Group Art Unit

**CARBON NANOTUBE ELECTRON IONIZATION SOURCES**

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. **50-0591** as described below.
- ☐ Charge the amount of \_\_\_\_\_
- ☐ Credit any overpayment.
- ☒ Charge any additional fee required.

**Certificate of Transmission by Facsimile\***

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (F:

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Typed or Printed Name of Person Signing Certificate

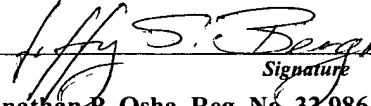
**Certificate of Mailing by First Class Mail**

I certify that this document and fee is being deposited on \_\_\_\_\_ with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

\_\_\_\_\_  
Signature of Person Mailing Correspondence

\_\_\_\_\_  
Typed or Printed Name of Person Mailing Certificate

\*This certificate may only be used if paying by deposit account.

  
Signature  
**Jonathan P. Osha, Reg. No. 33,986**  
**ROSENTHAL & OSHA L.L.P.**  
**1221 McKinney Street, Suite 2800**  
**Houston, Texas 77010**

Telephone: 713-228-8600  
Facsimile: 713-228-8778

Dated: 

CC:

<b>INFORMATION DISCLOSURE CITATION</b> <i>(Use several sheets if necessary)</i>				Docket Number (Optional) <b>07754/040001</b>		Application Number	
				Applicant(s) <b>Peter John TRAYNOR et al.</b>			
				Filing Date		Group Art Unit	

U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	A1	6,080,985	06/27/2000	Welkie et al.	250	287	09/30/1997
	A2	5,543,625	08/06/1996	Johnson et al.	250	427	05/20/1994
	A3	5,852,295	12/22/1998	Da Silveira et al.	250	423 R	04/07/1997
	A4	6,333,016 B1	12/25/2001	Resasco et al.	423	447.3	09/03/1999

FOREIGN PATENT DOCUMENTS								
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>		
	A5	M. E. Read, et al., "Carbon Nanotube-Based Cathodes for Microwave Tubes", IEEE Proceedings of the 2001 Particle Accelerator Conference, Chicago, Illinois, June 18-22, 2001, Pages 1026 - 1028

EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b>			Docket No.
Applicant(s): Peter John TRAYNOR et al.			07754/040001
Serial No.	Filing Date	Examiner	Group Art Unit
Invention: CARBON NANOTUBE ELECTRON IONIZATION SOURCES			
<p>I hereby certify that this <u>Information Disclosure Statement</u></p> <p style="text-align: center;"><i>(Identify type of correspondence)</i></p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Director of the United States Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450 on <u>November 12, 2003</u></p> <p style="text-align: center;"><i>(Date)</i></p> <p style="text-align: center;"><u>Tawana L. Garcia</u></p> <p style="text-align: center;"><i>(Typed or Printed Name of Person Mailing Correspondence)</i></p> <p style="text-align: center;"><u>Tawana L. Garcia</u></p> <p style="text-align: center;"><i>(Signature of Person Mailing Correspondence)</i></p> <p style="text-align: center;"><u>EL 974016585 US</u></p> <p style="text-align: center;"><i>("Express Mail" Mailing Label Number)</i></p> <p>Note: Each paper must have its own certificate of mailing.</p>			